

Responsible Office: Code IY/Earth Science Division
Subject: Support of NASA Research Opportunities



Office External Relations

Office Work Instruction

Support of NASA Research Opportunities

Approved by: _____

John D. Schumacher
Associate Administrator for
External Relations

[illegible]

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1. Purpose

The purpose of this procedure is to document the Code I review process for research opportunities issued by NASA sponsoring offices and the handling of foreign proposals submitted in response to these research opportunities.

2. Scope and Applicability

- 2.1 This instruction covers the entire Code I process in handling NASA research opportunities.
- 2.2 This instruction applies to NASA research opportunities issued by NASA Headquarters and Field Center sponsoring offices.

3. Definitions

- 3.1 AO
Action Officer – Code I division employees designated to support the sponsoring offices in conducting their research announcement and selection processes.
- 3.2 Announcement
NASA research opportunities including NASA Announcements of Opportunity, NASA Research Announcements, Cooperative Agreement Notice, and Request for Information.
- 3.3 Letter of Endorsement
Letter from Foreign Investigator's respective government agency or funding/sponsoring institution in the country from which the non-U.S. participant is proposing.
- 3.4 DD
Division Director
- 3.5 Code I
Office of External Relations
- 3.6 Code ID
Assessments and Technology Division
- 3.7 Code IH
Human Space Flight and Research Division supports the Office of Space Flight (Code M) and the Office of Life and Microgravity Sciences and Applications (Code U) and their Centers.

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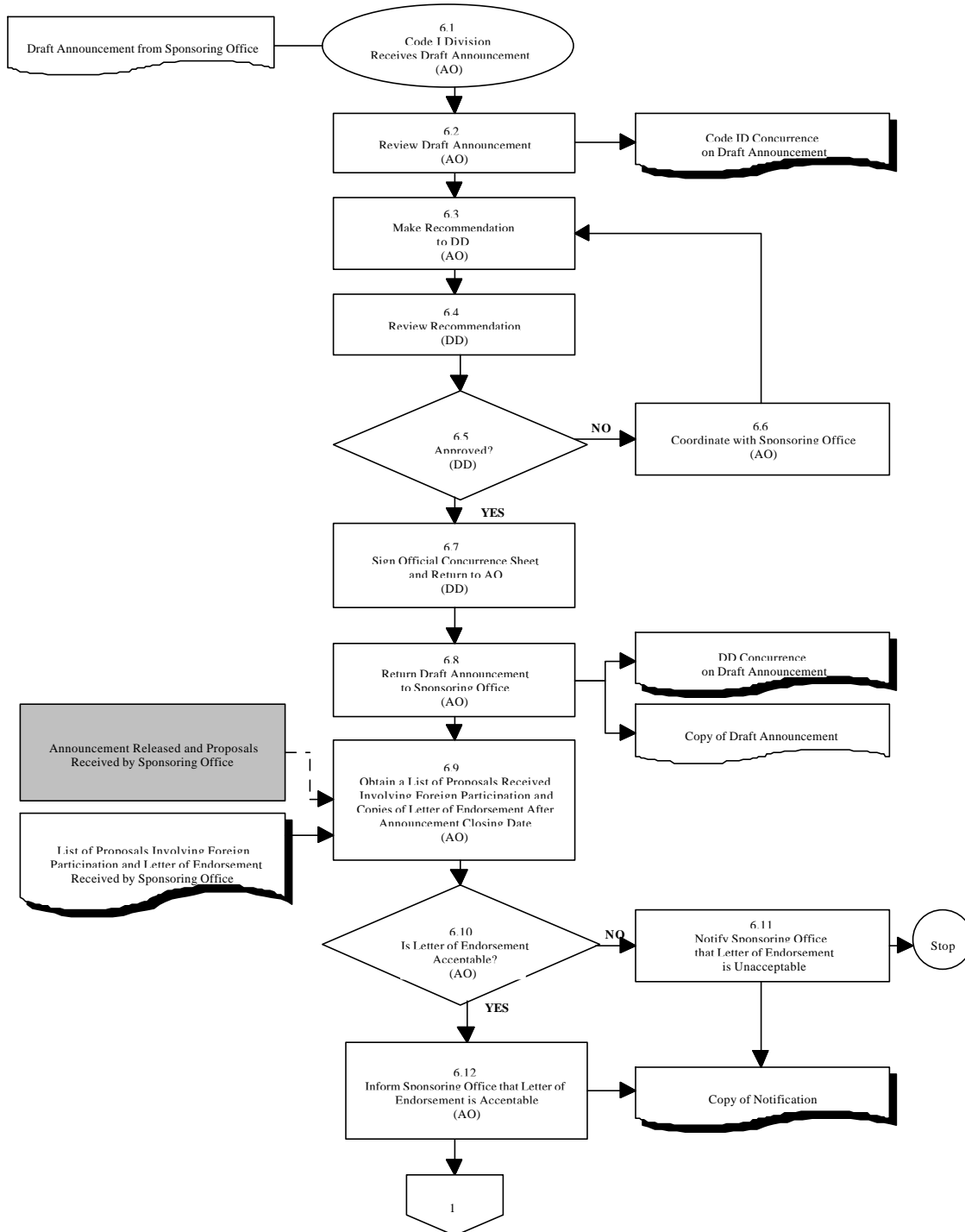
- 3.8 Code IS
Space Science and Aeronautics Division supports the Office of Space Science (Code S) and the Office of Aero-Space Technology (Code R) and their Centers.
- 3.9 Code IY
Earth Science Division supports the Office of Earth Science (Code Y) and its Center.

4. References

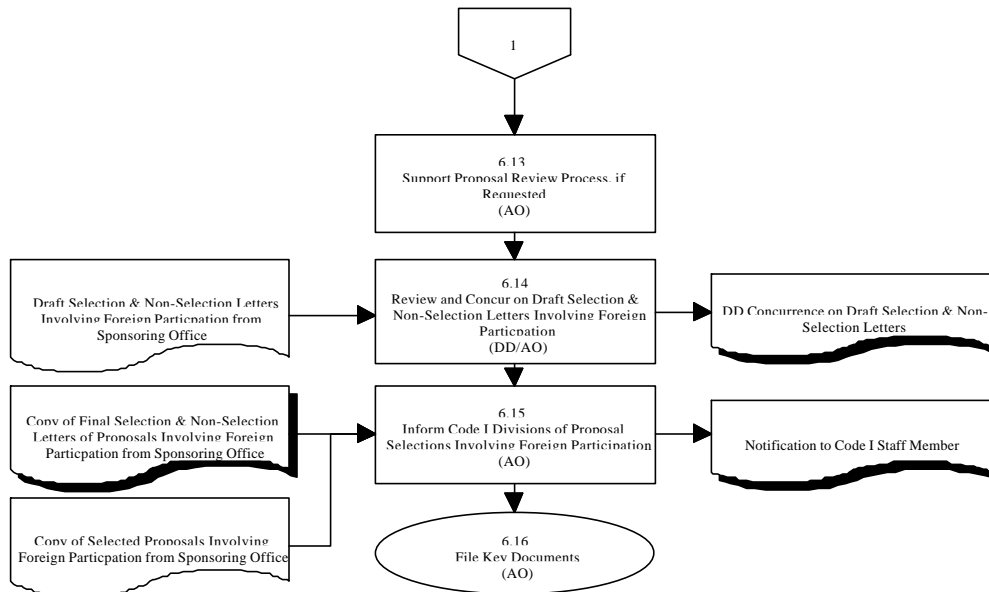
- 4.1 NPD 1360.2, Initiation and Development of International Cooperation in Space and Aeronautics Programs
- 4.2 NFS Part 1835, Research and Development Contracting
- 4.3 NFS Part 1872, Acquisitions of Investigations
- 4.4 NHB 1101.3, The NASA Organization
- 4.5 HOWI1050-I002, Formulation and Approval Process for International Space Act Agreements

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5. Flowchart



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6. Procedure

Step	Actionee	Action
6.1	AO	Receive draft announcement from sponsoring office (which is one of the NASA Enterprises). Each Code I division has an AO responsible for coordinating announcements received from the sponsoring offices.
6.2	AO	Review draft announcement to ensure that the guidelines for proposals involving foreign participation are addressed (See examples in Appendix A and Appendix B). Obtain Code ID concurrence on draft announcement.
6.3	AO	Forward draft announcement to DD with a recommendation for concurrence (including revisions and any potential issues, as necessary).
6.4	DD	Review AO recommendation.
6.5	DD	Is recommendation approved? If no, follow Step 6.6. If yes, follow Step 6.7.
6.6	AO	Coordinate revisions and/or issues with sponsoring office and return to Step 6.3.
6.7	DD	Sign and date official concurrence sheet. Return package to AO.
6.8	AO	Retain a copy of DD concurrence; retain a copy of draft announcement; and return DD concurrence and draft announcement to the sponsoring office.
6.9	AO	Obtain a list of proposals involving foreign participation and copies of the letters of endorsement after announcement closing date. Review list for potential policy concerns and alert sponsoring office if there are concerns. Review letters of endorsement and verify that the letters are from valid sponsors and contain the information required by the announcement. (Note: To keep track of the announcement closing dates ensure that AO is on the sponsoring office mailing list.)
6.10	AO	Is letter of endorsement acceptable? If no, follow Step 6.11. If yes, follow Step 6.12.
6.11	AO	Notify sponsoring office that letter of endorsement is unacceptable and cite deficiencies by e-mail.
6.12	AO	Inform the sponsoring office that the letters of endorsement are acceptable by e-mail.
6.13	AO	Respond to sponsoring office requests for proposal review support, if requested. Typically, this involves assigning a Code I representative to serve as an ex officio member of the Peer Review Panel.

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Step	Actionee	Action
6.14	DD	Review, concur and provide comments, if any, on draft selection and non-selection letters involving foreign participation from the sponsoring office.
	AO	Retain a copy of DD concurrence and return DD concurrence to the sponsoring office.
6.15	AO	Inform Code I divisions of the proposal selections involving foreign participation. Provide a copy of the selection letters involving foreign participation and the selected foreign proposals to the appropriate Code I staff member. The Code I staff member reviews the documents in accordance with HOWI1050-I002, Formulation and Approval Process for International Space Act Agreements.
6.16	AO	File key documents. Documents include the DD and Code ID concurrence on the draft announcement, the list of proposals involving foreign participation and letters of endorsement, a copy of the notification, DD concurrence on draft selection letters, final selection letters of proposals involving foreign participation, and the notification to the Code I staff member.

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7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Code ID Concurrence on Draft Announcement	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
DD Concurrence on Draft Announcement	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
List of Proposals Involving Foreign Participation and Letter of Endorsement Received by Sponsoring Office	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Copy of Notification	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
DD Concurrence on Draft Selection and Non-Selection Letters	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Copy of Final Selection and Non-selection Letters of Proposals Involving Foreign Participation from Sponsoring Office	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Notification to Code I Staff Member	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.

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APPENDIX A

NASA FAR Supplement

Part 1852.235-72: Instructions for Responding to NASA Research Announcements (<http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm>)

(L) Additional Guidelines Applicable to Foreign Proposals and Proposals Including Foreign Participation.

(1) NASA welcomes proposals from outside the U.S. However, foreign entities are generally not eligible for funding from NASA. Therefore, unless otherwise noted, proposals from foreign entities should not include a cost plan unless the proposal involves collaboration with a U.S. institution, in which case a cost plan for only the participation of the U.S. entity must be included. Proposals from foreign entities and proposals from U.S. entities that include foreign participation must be endorsed by the respective government agency or funding/sponsoring institution in the country from which the foreign entity is proposing. Such endorsement should indicate that the proposal merits careful consideration by NASA, and if the proposal is selected, sufficient funds will be made available to undertake the activity as proposed.

(2) All foreign proposals must be typewritten in English and comply with all other submission requirements stated in the NRA. All foreign proposals will undergo the same evaluation and selection process as those originating in the U.S. All proposals must be received before the established closing date. Those received after the closing date will be treated in accordance paragraph (g) of this provision. Foreign sponsors may, in exceptional situations, forward a proposal without endorsement if the endorsement is not possible before the announced closing date. In such cases, the NASA sponsoring office should be advised when a decision on endorsement can be expected.

(3) Successful and unsuccessful foreign entities will be contacted directly by the NASA sponsoring office. Copies of these letters will be sent to the foreign sponsor. Should a foreign proposal or a U.S. proposal with foreign participation be selected, NASA's Office of External Relations will arrange with the foreign sponsor for the proposed participation on a no-exchange-of-funds basis, in which NASA and the foreign sponsor will each bear the cost of discharging their respective responsibilities.

(4) Depending on the nature and extent of the proposed cooperation, these arrangements may entail:

- (i) An exchange of letters between NASA and the foreign sponsor; or
- (ii) A formal Agency-to-Agency Memorandum of Understanding (MOU).

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(M) Export Control Guidelines Applicable to Foreign Proposals and Proposals Including Foreign Participation.

(1) Foreign proposals and proposals including foreign participation must include a section discussing compliance with U.S. export laws and regulations, e.g., 22 CFR Parts 120-130 and 15 CFR Parts 730-774, as applicable to the circumstances surrounding the particular foreign participation. The discussion must describe in detail the proposed foreign participation and is to include, but not be limited to, whether or not the foreign participation may require the prospective proposer to obtain the prior approval of the Department of State or the Department of Commerce via a technical assistance agreement or an export license, or whether a license exemption/exception may apply. If prior approvals via licenses are necessary, discuss whether the license has been applied for or if not, the projected timing of the application and any implications for the schedule. Information regarding U.S. export regulations is available at <http://www.pmdtc.org> and <http://www.bxa.doc.gov>. Proposers are advised that under U.S. law and regulations, spacecraft and their specifically designed, modified, or configured systems, components, and parts are generally considered "Defense Articles" on the United States Munitions List and subject to the provisions of the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120-130.

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APPENDIX B

PROCUREMENT NOTICE 97-34

(<http://www.hq.nasa.gov/office/procurement/regs/pn97-34.html>)

September 7, 1999

Implementing Foreign Proposals to NASA Research Announcements on a No-Exchange-of-Funds Basis

PURPOSE: To conform the handling of foreign proposals under NASA Research Announcements (NRAs) with that under Announcements of Opportunity (AOs).

BACKGROUND: NASA uses NRAs and AOs to solicit research proposals from both U.S. and non-U.S. sources. Because of NASA's policy to conduct research with foreign entities on a cooperative, no-exchange-of-funds basis, NASA does not normally fund foreign research proposals or foreign research efforts that are part of U.S. research proposals. Rather, cooperative research efforts are normally implemented via international agreements between NASA and the foreign entity involved. Thus, foreign proposers, whether as primary proposers or as participants in U.S. research efforts, are expected to arrange for financing for their portion of the research.